

RECEIVED  
CENTRAL FAX CENTER

DEC 02 2004

PTO/SB/25 (08/03)

Approved for use through 07/31/2006, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Certificate of Transmission under 37 CFR 1.8

Serial No. 10/700,406

Application of: Matt Morano, et al.

Filed: November 4, 2003

Art Unit: 3621

Examiner: Not Yet Assigned

Attorney Docket No. 99786.0007

For: **DISTRIBUTED TRADING BUS ARCHITECTURE**

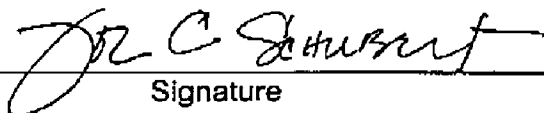
Confirmation No.: 5734

Customer No.: **25235**I hereby certify that this correspondence with the following documents are being  
facsimile transmitted to the United States Patent and Trademark Office:

1. Information Disclosure Statement (1 page)
2. FORM PTO/SB/08a (1 page)
3. Certificate of Facsimile (1 page)

on December 2, 2004  
Date3  
No. of Pages  
(incl. Coversheet)

to centralized fax number: 703-872-9306

  
SignatureJoan C. Schubert  
Typed or printed name of person signing CertificateNote: Each paper must have its own certificate of transmission, or its certificate must  
identify each submitted paper.

Client Matter No.: 99786.0007

RECEIVED  
CENTRAL FAX CENTER

T-830 P.002/003 F-711

DEC 02 2004

VIA FACSIMILE  
Attorney Docket No. NYMX0002  
Client/Matter No. 99786.0007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Matt Morano, et al.

Serial No. 10/700,406

Filed: November 4, 2003

For: DISTRIBUTED TRADING BUS  
ARCHITECTURE

Group Art Unit: 3621

Examiner: [Not Yet Assigned]

Confirmation No.:

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:


Applicant hereby submits for filing under 37 CFR 1.97 a disclosure statement. In submitting these references, no representation is made or implied that the references are or are not material to the examination of this application. The patents, publications or other information of which Applicant is presently aware are listed in Form PTO/SB/08A submitted herewith and copies of all such patents and publications are attached hereto.

No fee is believed due for this submittal. However, any fee deficiency associated with this submittal may be charged to Deposit Account No. 50-1123.

Respectfully submitted,

Date

12/2/04

  
Stuart T. Langley, Reg. No. 33,940  
HOGAN & HARTSON LLP  
One Tabor Center  
1200 17th Street, Suite 1500  
Denver, Colorado 80202  
(720) 406-5335 Tel  
(303) 899-7333 Fax

WBO - 99786/0007 - 173212 v1

PTO/SB/08a(08/03)

Approved for use through 07/31/2006. OMB 0651-0031  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt Morano, et al.
				Art Unit	3621
				Examiner Name	[Not Yet Assigned]
Sheet	1	of	1	Attorney Docket No.	NYMX0002

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Document No. No. – Kind Code <sup>2</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
	1	US-20040210514	10/21/2004	Kemp		
	2	US-20040153394	08/05/2004	West		
	3	US-20040153393	08/05/2004	West		
	4	US-20040153392	08/05/2004	West		
	5	US-20040153391	08/05/2004	Burns		
	6	US-20040148242	07/29/2004	Liu		
	7	US-20040103054	05/27/2004	Singer		
	8	US-20040093300	05/13/2004	Burns		
	9	US-20040064395	04/01/2004	Mintz		
	10	US-20040049738	03/11/2004	Thompson		
	11	US-20030236737	12/25/2003	Kemp		
	12	US-20030200167	10/23/2003	Kemp		
	13	US-20030023542	01/30/2003	Kemp		
	14	US-20030009419	01/09/2003	Chavez		
	15	US-20020070915	06/13/2002	Mazza		
FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup>				

EXAMINER SIGNATURE	/Clement Graham/	DATE CONSIDERED	04/17/2008
--------------------	------------------	-----------------	------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP §01.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.